



Agency Records Disposition Schedule

Department: Department of Transportation

Section:

Division: Audits and Investigations

Sub-Section:

TITLE: Audit - Reports

CUTOFF: End of state fiscal year in which audit completed

DESCRIPTION: Audit reports and related documents generated through internal or external audits regarding the performance or management of a program. Audits may assess effectiveness, economy and efficiency, internal controls, and compliance with legal or other requirements. May also provide prospective analysis, guidance, or summary information. These records include, but are not limited to Attestation Engagement Reports, MoDOT External Audits, and External Overhead Audits/Reviews.

RETENTION: Years: 0 Months: 0 Days: 0

NOTES: See Infrastructure Project Fiscal Files for Audit Reports on road and bridge projects. Record will be maintained by MoDOT, and one copy to Missouri State Archives.

DISPOSITION ACTION: Permanent - Transfer to Missouri State Archives

SERIES: 23453

SERIES STATUS: Approved

APPROVAL DATE:

10/13/2011

TITLE: Audit-Work Papers

CUTOFF: Completion of audit

DESCRIPTION: Supporting documentation of investigations or reviews prepared or conducted by internal auditors regarding the performance or management of a program, department or agency. Audits may assess effectiveness; economy and efficiency; internal controls; and compliance with legal or other requirements. May also provide prospective analyses, guidance, or summary information.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23563

SERIES STATUS: Approved

APPROVAL DATE:

6/19/2012

TITLE: Bid Review Analysis

CUTOFF: Letting date

DESCRIPTION: Monthly review of bids and bid prices to assess fraud and market competition infractions. Includes review supporting documents, historical bid prices and statistical measures.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23556

SERIES STATUS: Approved

APPROVAL DATE:

10/13/2011



Agency Records Disposition Schedule

Department: Department of Transportation

Section:

Division: Audits and Investigations

Sub-Section:

TITLE: Investigation Reports by Inspector General or Audits and Investigations Unit

CUTOFF: Resolution or dismissal

DESCRIPTION: Records related to or documenting allegations of fraud, waste, and abuse; theft; employee or contractor misconduct; conflicts of interest, employee grievances and complaints.

RETENTION: Years: 25 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23574

SERIES STATUS: Approved

APPROVAL DATE:

10/13/2011

TITLE: Legislative Oversight or Federal Government Audit Reports

CUTOFF: Completion of audit

DESCRIPTION: Agencies' copy of final reports prepared by auditor's including, but not limited to Missouri Legislative Oversight, Federal Office of Inspector General, Federal Highway Administration, Federal Transit Administration, Federal Railroad Administration and Federal Aviation Administration. The reports detail and examine MoDOT's operations and performance. Original is maintained by the auditing entity.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Permanent - Transfer to Missouri State Archives

SERIES: 23678

SERIES STATUS: Approved

APPROVAL DATE:

10/13/2011

TITLE: Motor Carrier Audit Report

CUTOFF: Completion of audit

DESCRIPTION: Audit report verifies mileage driven in each jurisdiction by Motor Carriers.

RETENTION: Years: 7 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23756

SERIES STATUS: Approved

APPROVAL DATE:

10/13/2011



Agency Records Disposition Schedule

Department: Department of Transportation

Section:

Division: Audits and Investigations

Sub-Section:

TITLE: Performance Audit – Work Papers

CUTOFF: Completion of audit

DESCRIPTION: Supporting documentation of performance audits conducted by internal auditors regarding the performance or management of a program, division or district. Audits may assess effectiveness, economy, and efficiency; internal controls; and compliance with legal or other requirements. May also provide prospective analyses, guidance, or summary information. Work papers are kept longer since there is a longer time between performance audits.

RETENTION: Years: 7 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23692

SERIES STATUS: Approved

APPROVAL DATE:

10/13/2011

TITLE: Single Audit Reports

CUTOFF: Completion of audit

DESCRIPTION: Agency's copy of external single audit reports of a local government. The report details and examines the entity's operations and performance.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES: Original is maintained by the auditing entity. Includes A-133 Audits of local governments.

DISPOSITION ACTION: Destroy

SERIES: 23683

SERIES STATUS: Approved

APPROVAL DATE:

10/13/2011